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01 INTRODUCTION

Keeping records and the reporting to the enforcing authority for health and safety certain types of injury is a legislative requirement. The Reporting of Injuries, Disease and Dangerous Occurrence Regulations 2013 (RIDDOR) requires employers, and other people in control of work premises, to report and keep records of:

- Work-related accidents which cause death;
- Work-related accidents which cause certain specified injuries (reportable injuries);
- Work-related accidents which cause incapacitation of more than 7 days;
- Diagnosed cases of certain industrial diseases; and
- Certain 'dangerous occurrences' (incidents with the potential to cause harm).

Scope

This policy applies within all Lancaster City Council services, and applies to all members of staff and visitors involved in or witness to an accident, incident, near miss, or dangerous occurrence.

Purpose

This policy is intended to set out the company's arrangements for reporting and investigating accidents and incidents.

02 GENERAL STATEMENT

The organisation recognises the need for a simple, effective and efficient system of accident and incident reporting, not as a means of apportioning blame, but as a mechanism for identifying risks and learning from mistakes, therefore it is the policy of Lancaster City Council to report and investigate all occurrences. The degree of investigation being determined by the severity of the occurrence.

This document outlines the process to be followed when an employee or contractor experiences an accident, incident, dangerous occurrence or near miss whilst at work. This will also apply to visitors who are classed as members of the public and therefore not at work.

The organisation's aim is to reduce the number of accidents by:-

- Improving training and staff awareness;
- Implementing comprehensive risk assessments; and
- Learning from past experience in taking action to prevent recurrence.

03 LEGISLATION

Reporting of Injuries, Diseases & Dangerous Occurrences Regulations

It is a legal requirement under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) to report certain injuries, diseases or dangerous occurrences. Employees, agency workers and members of the public are included where they are injured or suffer a disease as a result of a work activity.

GDPR / Data Protection

All accident/incident records should be stored in accordance with GDPR / data protection legislation as they contain personal information.

04 DEFINITIONS

Accident

An unplanned, unwanted event or series of events, which results in loss and / or damage (including physical injury) particularly those which arise out of, or in connection with, work.

In relation to RIDDOR, specifically those arising '**out of or in connection with work**' and acts of non-consensual violence **to people at work**.

There must be an identifiable external event that causes the injury, e.g. a falling object / striking someone etc. Injuries themselves, e.g. 'feeling a sharp twinge', are not accidents.

An accident may be caused through:

- The manner of conducting the work, this refers to the way in which any work activity is being carried out including how it is organised or supervised. In other words operating unsafe systems of work.
- The equipment plant or substances used for the purposes of the work. This includes, for example, lifts, hoists, baths, air conditioning units, beds, furniture, gas supplies, any substances used in conjunction with the work.

- The condition of the premises used for the work. This includes the condition of the structure or fabric of a building or outside area, e.g. car park, condition of floors, paving, stairs, lighting etc.

Cumulative exposures to hazards, which eventually cause injury (e.g. repetitive lifting), are not classed as 'accidents' under RIDDOR.

Near Miss

"Any event, which under slightly different circumstances, may have resulted in injury or ill health of people, or damage or loss to property, plant, materials or the environment or a loss of business opportunity".

Example: A window cleaner dropping a bucket from a height, which just missed a person standing underneath, would be classed as a "near-miss" incident. This incident did not cause an injury to a person but, under slightly different circumstances (the person standing nearer to the contact point) the person may have been injured.

Dangerous Occurrences

A notifiable event (to the relevant enforcement authority) of a type specified in schedule 2 of RIDDOR which could have resulted in a reportable injury even if, in the circumstances, it did not do so. There are 27 types of dangerous occurrences included in the "General Category" within schedule 2 of RIDDOR that are relevant to most workplaces. Examples are as follows:

- The collapse, overturning or failure of any load-bearing part of any lifting equipment, other than an accessory for lifting.
- Any plant or equipment unintentionally coming into contact with an uninsulated overhead electric line in which the voltage exceeds 200 volts; or close proximity with such an electric line, such that it causes an electrical discharge.
- Any explosion or fire caused by an electrical short circuit or overload (including those resulting from accidental damage to the electrical plant) which either results in the stoppage of the plant involved for more than 24 hours; or causes a significant risk of death.

05 ORGANISATION AND MANAGEMENT

Chief Executive Officer

The Chief Executive has overall responsibility for ensuring that the company meets its statutory obligations and that effective arrangements for the management of health and safety are put in place.

Chief Officer

The Chief officer of each department has executive responsibility to manage health and safety including compliance with Health and Safety at Work Act, etc. 1974 and other relevant legislation, best practice guidance and Company policies to meet legal and organisational requirements.

Health and Safety Team

The Health and Safety Team is responsible for advising on appropriate measures to meet legal and organisational requirements as required.

Line Managers

Line Managers have direct responsibility for health and safety matters relating to premises under their control and for persons reporting directly to them and are therefore responsible for the implementation of the provisions of this policy for the departments under their jurisdiction by:

- Ensuring that all staff are aware of their responsibility to report any accident, incident, near miss or dangerous occurrence occurring to:-
 - a member of staff whilst carrying out their duties
 - a contractor, whilst on the premises carrying out their duties
 - a member of the public whilst on company property
- Ensuring that accident / incident reports are completed for each accident / incident that occurs on the online reporting systems.
- Meeting the requirements of the RIDDOR, specifically to complete and submit the online RIDDOR reporting form.
- Ensuring copies of the RIDDOR report form are downloaded from the online reporting system on submission of the completed online form or a screen shot taken prior to submitting to take note of the reference number.
- Ensuring that accident / incident investigations are carried out.
- Ensuring that occurrences are reported to other relevant statutory bodies in accordance with their requirement and timescales.
- Informing the Health and Safety Manager of all RIDDOR reportable accidents / injuries.
- Ensuring that following an investigation, relevant risk assessments and any local procedures are reviewed and any remedial action required to improve the effectiveness of control measures are implemented and documented within the risk assessments.
- Ensuring that the investigations form for all RIDDOR reportable / serious occurrences are completed on the online reporting system.
- Reviewing all accidents, incidents, near misses and dangerous occurrences at monthly intervals.

Health and Safety Representatives / Trade Union Representatives

Health and Safety / Trade Union Representatives have certain responsibilities and duties and are able to audit and complete inspections where required.

Health and Safety Representatives have the right to investigate potential hazards and 'dangerous occurrences' and examine the accident data and investigate members' complaints.

Employees / Contractors

Employees and Contractors are responsible for reporting any accident / incident or near miss that occurs to themselves.

06 REPORTING REQUIREMENTS

What should be reported?

Employees are responsible for ensuring that all accidents, incidents (including those not requiring first aid), near misses and dangerous occurrences and any other unsafe situations are reported as soon as possible to their line manager or the person in charge of the premises at the time of the occurrence.

There are 2 levels of reporting:

- In house reporting

- Reporting under RIDDOR

07 IN HOUSE REPORTING

Paper reporting forms

Where staff members do not have access to the My Compliance system, a paper form must be completed and issued to either the responsible person for the facility or the department manager.

Electronic reporting system

The procedure for recording accidents and incidents is by completing an electronic accident / incident report form on 'My Compliance'. All accidents and incidents shall be recorded on the electronic system accessed from the relevant link provided on the company Intranet.

Employees must make a prompt, full and detailed report regarding the accident or incident, and the form must be completed clearly and as fully as possible.

It must contain only factual detail and not supposition or opinion. Some information fields on the systems are mandatory (compulsory) and this is indicated by an asterisk (*). These information fields must be completed to enable the form to be saved to the system. Failure to complete the mandatory information will result in an inability to save the form.

Managers, after checking that the form has been accurately and fully completed shall commence completion of the manager's investigation / response section. It may not be possible to fully complete this section until an investigation into the occurrence have been completed. In these circumstances the section should be closed as "In progress".

Please note – only when an accident / incident is classed as a RIDDOR (please see further guidance on RIDDOR reportable events) then the box should be clicked to state it is a RIDDOR.

Accidents to Visitors / Contractors / Residents

Any non-employee who is involved in an accident or near miss incident whilst on company premises or at a resident's home must report the incident immediately to the person in charge of the premises, who must ensure that the company procedure is adhered to.

All injuries, however minor, must be reported. Contractors should also notify their own employer where applicable.

If an injury occurs to a member of the public on company premises, which results in their removal directly from the scene of the accident to hospital for hospital treatment, then this is RIDDOR reportable.

Road Traffic Collisions

Please refer to the Driving at Work Policy, all incidents, or accidents in relation to an RTA must be reported on My Compliance, although they will not be RIDDOR Reportable.

08 RIDDOR REPORTING

Not all accidents which result in injuries need to be reported, a RIDDOR report is required only when the accident is work-related, and it results in an injury of a type which is reportable – detailed below:-

- **Deaths**

All deaths to employees and non-employees, except for suicides, must be reported if they arise from a work-related accident, including an act of physical violence to a worker.

- **Specified Injuries to employees**

- A fracture, other than to fingers, thumbs, and toes.
- Amputation of an arm, hand, finger, thumb, leg, foot, or toe.
- Any injury likely to lead to permanent loss of sight or reduction in sight in one or both eyes.
- Any crush injury to the head or torso, causing damage to the brain or internal organs.
- Serious burns including scaldings (covering more than 10% of the body, or damaging the eyes, respiratory system, or other vital organs).
- Scalping (separation of skin from the head) which require hospital treatment.
- Loss of consciousness caused by head injury or asphyxia.
- Any other injury arising from working in an enclosed space, which leads to hypothermia, heat-induced illness or requires resuscitation or admittance to hospital for more than 24 hours.

- **Over 7-day incapacitation injuries to employees**

An accident or incident at work, including physical violence, that results in an employee being incapacitated for more than 7 consecutive days.

Incapacitation in this context means being away from work, or unable to perform normal work duties, for more than seven consecutive days.

In the calculation of the period of incapacitation for work any days the injured person would not normally have been expected to work, such as weekends, rest days or holidays, must be included.

Note: Over-three-day injuries are not reportable under RIDDOR, unless the incapacitation period goes on to exceed seven days.

- **Injuries to non-employees**

Work-related accidents involving people who are not at work e.g. members of the public must be reported if a person is injured and is taken **directly** from the scene of the accident to hospital for treatment to that injury. There is no requirement to establish what hospital treatment was provided, and no need to report accidents where people are taken to hospital purely as a precaution when no injury is apparent. If the accident occurred at a hospital, the report only needs to be made if the injury is a 'specified injury' (see above).

Other RIDDOR reportable occurrences

Reportable occupational disease – These diseases include:

- Carpal Tunnel Syndrome: where the person's work involves regular use of percussive or vibrating tools.
- Cramp of the hand or forearm: where the person's work involves prolonged periods of repetitive movement of the fingers, hand or arm.
- Occupational dermatitis: where the person's work involves significant or regular exposure to a known skin sensitiser or irritant.

- Hand Arm Vibration Syndrome: where the person's work involves regular use of percussive or vibrating tools, or holding materials subject to percussive processes, or processes causing vibration.
- Occupational asthma: where the person's work involves significant or regular exposure to a known respiratory sensitiser ; and
- Tendonitis or tenosynovitis: in the hand or forearm, where the person's work is physically demanding and involves frequent, repetitive movements.

A reportable disease must be diagnosed by a doctor. Diagnosis includes identifying any new symptoms, or any significant worsening of existing symptoms. Employees need to provide the diagnosis in writing to their manager.

Exposure to carcinogens, mutagens, and biological agents

Regulation 9 requires employers and self-employed workers to report cases of occupational cancer, and any disease or acute illness caused by an occupational exposure to a biological agent.

For a full, detailed list, refer to the online guidance at: <https://www.hse.gov.uk/riddor/carcinogens.htm>

Reportable dangerous occurrences

Dangerous occurrences are certain, specified 'near-miss' events. Not all such events require reporting. There are 27 categories of dangerous occurrences that are relevant to most workplaces. For example:

- The collapse, overturning or failure of load-bearing parts of lifts and lifting equipment.
- Plant or equipment coming into contact with overhead power lines.
- Explosions or fires causing work to be stopped for more than 24 hours.

For a full, detailed list, refer to the online guidance at: <http://www.hse.gov.uk/riddor/dangerous-occurrences.htm>

09 HOW TO REPORT UNDER RIDDOR

Online

The RIDDOR report form for workplace injuries can be accessed on the following link: <https://notifications.hse.gov.uk/riddorforms/Injury>

Please refer to the Lancaster City Council guidance document "HS Accident Reporting – Guide to completing RIDDOR report form prior to completing the online form.

Telephone

All incidents can be reported online but a telephone service is also provided for reporting fatal / specified, and major incidents **only** - call the Incident Contact Centre on 0345 300 9923 (opening hours Monday to Friday 8.30 am to 5 pm).

10 REPORTING TIMESCALES

In House 'My Compliance' System

The following timescales apply to reporting accidents on My Compliance.

Document Ref	SG07	Version Number	1.0
Policy Owner	Health and Safety Manager	Last Review Date	March 2024
Date First Issued	August 2018	Next Review Date	Every 2 years

- Accident / Incident records - **within 24 hours** of the accident / incident occurring. If a major accident occurs, then this must be communicated to the Health & Safety Manager **within 12 hours** of the accident / incident occurring.
- A staff debrief **MUST** take place within 48 hours with the staff involved in the incident.

RIDDOR Reportable Injuries

'Specified Injuries'

Notify the enforcing authority of the reportable occurrence by the quickest practicable means without delay. Complete the online RIDDOR report form within 10 days of the occurrence.

'Over 7 day incapacitation'

Where staff have been absent (or not able to carry out their normal work duties) for more than 7 days, complete the online RIDDOR report form 15 days of the occurrence.

11 FOLLOW UP ACTIONS

- All RIDDOR reports must be copied to the Health and Safety Team.
- All accidents / incidents must be investigated to help prevent a recurrence.
- Employees who have been injured must have a return-to-work interview prior to commencing their shift by their Line Manager, in order to discuss their fitness for work – whether they are fully fit for normal duties, or whether their injuries / conditions will cause any limitations in the workplace, in which case support measure must be considered and implemented where reasonably practicable until the IP is fully able to undertake their normal duties.
- It may be required that the IP is referred to the Rehabilitation Service or Occupational Health for professional assessment and advice regarding their ability to carry out full working duties.

12 INFORMATION / TRAINING

To enable employees to understand the importance and requirements of the reporting of accidents, incidents, dangerous occurrences and near misses, appropriate information and training shall be given to all personnel.

13 ACCIDENT INVESTIGATION

Line Managers are responsible for carrying out an investigation after an accident or near miss that has been reported. The purpose of the investigation is to determine the cause or causes so action can be taken to prevent a recurrence. It is not to apportion blame. The degree of investigation being determined by the severity of the accident/incident.

In the event of an accident occurring to a member of staff whilst carrying out their duties or any other person on company premises, the manager or person in charge of the premises at the time shall:

- Ensure that any injured person receives first aid treatment.
- Visit the scene of the accident, ensuring that no immediate hazard remains.
- As far as possible, establish the facts.
- Ensure that all witnesses make a written statement.
- Identify any immediate action required.

- Ensure that, where appropriate, any piece of equipment is withdrawn from service and isolated / identified so that it may not be used; and
- Where considered appropriate, make a sketch or arrange for a photograph to be taken complete relevant documentation.

See supplementary Lancaster City Council guidance document Accident Investigation for further details.

14 REVIEWING ACCIDENT INFORMATION

Accident records shall be reviewed at monthly intervals by managers to ascertain the nature of the accidents and incidents which have occurred, and that remedial action is implemented relevant and appropriate to the circumstances of the occurrence.

This review shall be in addition to an individual investigation of the circumstances surrounding each accident.

Accident information shall also be reviewed at monthly interval as part of the company's compliance and governance system.

15 ACCIDENT / INCIDENT RECORD KEEPING

Reportable Injuries

- Copies of the completed online report form must be forwarded to the Health and Safety Manager.
- Copies of the completed RIDDOR report forms shall be retained in accordance with company policy on document retention.
- Accident records must be kept securely in the premises complying with requirements of GDPR.

In house Accident / Incident reports

- Accident/incident reports for all services and offices shall be retained in accordance with company policy on document retention.
- Accident records must be kept securely in the premises complying with requirements of GDPR.

16 MONITORING AND REVIEW

Monthly statistical analysis will be provided to the Senior Leadership Team in a monthly compliance report.

Where appropriate, RIDDOR will be a regular agenda item for health and safety meetings.

This policy will be reviewed every 2 years, unless changing circumstances require an earlier review.